

BEFORE THE SECURITIES COMMISSIONER

STATE OF COLORADO

Case No. XY 20130001

CONSENT ORDER

IN THE MATTER OF WEALTH MANAGEMENT RLJ CO d/b/a PLANNING STRATEGIES, INC. AND ROBERT LAMAR JONES

Respondents.

THIS MATTER is before Fred J. Joseph, Securities Commissioner for the State of Colorado ("Commissioner"), on the Stipulation for Consent Order ("Stipulation") between the Staff of the Colorado Division of Securities ("Staff") and Respondents Wealth Management RLJ CO d/b/a Planning Strategies, Inc. and Robert Lamar Jones ("Respondents"). After reviewing the Stipulation, grounds therein, and further being advised in the premises, the Commissioner makes the following Findings and Orders as follows:

FINDINGS

1. The Commissioner has jurisdiction over Respondents and this matter pursuant to the provisions of the Colorado Securities Act, §§ 11-51-101 through 803, C.R.S.

2. By entering into the Stipulation, Respondents have waived the following rights: (1) a formal hearing pursuant to §§ 11-51-606(1), 24-4-104, and 24-4-105, C.R.S.; (2) to be represented by counsel of their choice; (3) to present a defense through oral and/or documentary evidence; (4) to cross-examine witnesses at such hearing; and (5) to seek judicial review of this Consent Order as provided in §§ 11-51-607 and 24-4-106, C.R.S.

3. Respondents have further waived the findings required by § 11-51-410(1), C.R.S. and pursuant to § 11-51-704(2), C.R.S. that entry of this Consent Order is necessary and appropriate in the public interest and is consistent with the purposes of the Colorado Securities Act.

4. The Commissioner acknowledges that by entering into the Stipulation, Respondents neither admit nor deny any of the allegations raised in the Notice of Charges, as amended.

NOW, THEREFORE, based on the foregoing, it is ORDERED as follows:

1. Respondents shall withdraw their investment adviser and investment adviser representative licenses on or before July 31, 2013. In the event that Respondents fail to withdraw their licenses by July 31, 2013, the licenses shall be deemed to be withdrawn. Respondent shall not re-apply for licensure as an investment adviser or as an investment adviser representative.

2. Commencing on the date of this Order, Respondents, their agents, successors, assigns, and any business entity or person any Respondents control, directly or indirectly, or that any Respondents possess, directly or indirectly, the power to direct or cause, in any manner, the direction of the management, policies and decision-making of that business entity or person, whether through ownership of voting securities, by contract or otherwise, are hereby prohibited from:

- a) transacting business in this state as an investment adviser or investment adviser representative, as those terms are defined in § 11-51-201, C.R.S.; or
- b) otherwise engaging in conduct in violation of any provision of the Colorado Securities Act, §§ 11-51-101, *et seq.*, C.R.S.

3. To the extent not included in this Consent Order, the provisions contained in the Stipulation for Consent Order filed in this matter are specifically incorporated in and made a part of this Order.

4. Violation by Respondents of any provision of this Stipulation or Consent Order may constitute grounds for initiation of further proceedings against Respondents. In the event such action is commenced, then the Stipulation, this Consent Order, and the factual basis underpinning this matter shall be admissible as evidence in any such action.

5. The Stipulation for Consent Order and this Consent Order shall fully and finally resolve all issues related to the allegations raised in the Notice of Charges.

DATE: July 24, 2013

Fred J. Joseph
FRED J. JOSEPH
Securities Commissioner

